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Notice of References Cited

Application/Control No.

09/405,920

Applicant(s)/Patent Under
Reexamination
CARILLO ET AL.

Examiner

Anne M Beckerleg

Art Unit

1632

Page 1 of 1

U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
	A	US- -			
	B	US- -			
	C	US- -			
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	M	US- -			

FOREIGN PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
	N	- -				
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	S	- -				
	T	- -				

NON-PATENT DOCUMENTS

*		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
	U	Marshall; Gene Therapy 's Growing Pains, 1995, Science, Vol. 269: 1050-1055.
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PTO/SB/08A (10-01)

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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Complete if Known			
		Application Number	09/405,920		
		Filing Date	September 24, 1999		
		First Named Inventor	Serge CARILLO et al.		
		Art Unit	1632		
		Examiner Name	A. Beckerleg		
Sheet	1	of	2	Attorney Docket Number	ST94037

U.S. PATENT DOCUMENTS					
Examiner Initials	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
	A1	US-			
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Examiner Initials	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)				
	FA1	WO 00/21575	04-20-2000	Atencio		
	FA2					
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	FA9					
	FA10					

Examiner Signature	<i>[Signature]</i>	Date Considered	1/28/03
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¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449B/PTO

(use as many sheets as necessary)

Sheet	2	of	2
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Application Number	09/405,920
Filing Date	September 24, 1999
First Named Inventor	Serge CARILLO et al.
Group Art Unit	1632
Examiner Name	A. Beckerleg
Attorney Docket Number	ST94037A

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Notice of References CitedApplication No.
09/405,920Applicant(s)
Carillo et al.Examiner
Gai (Jennifer) Mi LeeGroup Art Unit
1632

Page 1 of 3

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U	Asada et al., "cDNA cloning of human calpastatin: sequence homology among human, pig, and rabbit calpastatins." J. Enzym. Inhib., Vol. 3 (1): 49-56.	1989
V	Bischoff et al., "An adenovirus mutant that replicates selectively in p53-deficient human tumor cells." Science, Vol. 274 : 373-376.	10/1996
W	Miller et al., "Targeted vectors for gene therapy." FASEB, Vol. 9: 190-199.	2/1995
X	Crystal, RG., "Transfer of Genes to Humans: Early lessons and obstacles to success." Science, Vol. 270: 404-410.	1995

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Page 2 of 3

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U	Dach et al., "Targeting gene therapy to cancer: a review." <i>Oncology Res.</i> , Vol. 9: 313-325.	1997
V	Verma et al., "Gene therapy- promises, problems and prospects." <i>Nature</i> , Vol. 389: 239-242.	9/1997
W	Deonarain, MP., "Ligand-targeted receptor-mediated vectors for gene delivery." <i>Exp. Opin. Ther. Patents</i> , Vol. 8 (1): 53-69.	1998
X	Eck et al., "Gene-based therapy." <i>Goodman & Gilman's The Pharmacological Basis of Therapeutics</i> , McGraw-Hill-Ninth Edition: 77-101.	1996

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NON-PATENT DOCUMENTS

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U	Orkin et al., "Report and recommendations of the panel to assess the NIH investment in research on gene therapy." Pages 1-20.	12/1995
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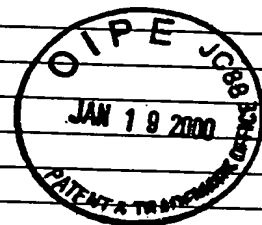


PTO/SB/08A (6-95)
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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

1449A/PTO		U.S. Department of Commerce Patent and Trademark Office		Complete if Known	
LIST OF PRIOR ART CITED BY APPLICANT (use as many sheets as necessary)				Application Number	09/405,920
				Filing Date	September 24, 1999
				First Named Inventor	Carillo et al.
				Group Art Unit	1614
				Examiner Name	
Sheet	1	of	2	Attorney Docket Number	ST94037 A-US

U.S. PATENT DOCUMENTS

Examiner Initials	Cite No.	U.S. Patent Document Number	Kind Code (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
SM	AA	4,788,219		Sakurai et al.	11-29-1988	
SM	AB	5,496,731		Xu et al.	03-05-1996	



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Examiner Initials	Cite No.	Foreign Patent Document Office Number	Kind Code (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
SM	FA	EP 159 678		Sakurai et al.	10-30-1985		
SM	FB	EP 395 309		Asada et al.	10-31-1990		
	FC	WO 92/21373		Logothetou-Rella	12-10-1992		
	FD	WO 93/02106		Nixon et al.	02-04-1993		
	FE	EP 569,122		Omura et al.	11-10-1993		
	FF	EP 580 161		Saito et al.	01-26-1994		
SM	FG	WO 94/21817		Henkart et al.	09-29-1994		

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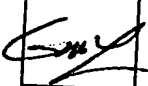




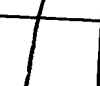

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

1449/APTO		U.S. Department of Commerce Patent and Trademark Office		Complete if Known	
LIST OF PRIOR ART CITED BY APPLICANT (use as many sheets as necessary)				Application Number	09/405,920
				Filing Date	September 24, 1999
				First Named Inventor	Carillo et al.
				Group Art Unit	1614
				Examiner Name	
Sheet	2	of	2	Attorney Docket Number	ST94037 A-US

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, country, where published, source.
	PA	Levero et al., Defective and Nondefective Adenovirus Vectors for Expressing Foreign Genes In Vitro and In Vivo, Gene, 101, 195-202, (1991)
	PB	Maki et al., Inhibition of Calpain by a Synthetic Oligopeptide Corresponding to an Exon of the Human Calpastatin Gene, Journal of Biol. Chemistry, 264, (32), 18866-18869, (1989)
	PC	Ohkoshi, Effect of Aprotinin On Growth Of 3-Methylcholanthrene-Induced Squamous Cell Carcinoma In Mice, Gann 71: 246-250 (1980)
	PD	Troll et al., Protease Inhibitors as Anticarcinogens, JNCL 73(6): 1245-1250 (1984)
	PE	Emori et al., All Four Repeating Domains of the Endogenous Inhibitor for Calcium-dependent Protease Independently Retain Inhibitory Activity, Journal of Biological Chemistry 263(5): 2364-2370 (1988)
	PF	Witschi et al., Modulation of lung tumor development in mice with the soybean-derived Bowman-Birk protease inhibitor, Carcinogenesis 10:2275-2277 (1989)
	PG	Orkin et al., Report & Recommendations Of The Panel To Assess The NIH Investment In Research On Gene Therapy, NIH (1995)
	PH	Carillo et al., Differential sensitivity of FOS and JUN family members to calpains, Oncogene 9, 1679-1689 (1994)

EXAMINER SIGNATURE 	DATE CONSIDERED 6/28/00
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FORM PTO-892 (REV. 2-92)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		SERIAL NO. 81737,953	GROUP/ART UNIT 1632	ATTACHMENT TO PAPER NUMBER 13			
NOTICE OF REFERENCES CITED				APPLICANT(S) <i>Car. Ho et al</i>					
U.S. PATENT DOCUMENTS									
•		DOCUMENT NO.	DATE	NAME	CLASS	SUB-CLASS	FILING DATE IF APPROPRIATE		
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FOREIGN PATENT DOCUMENTS									
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OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)									
•	R	<i>Orkin et al (1995) Report and Recommendations of the Panel To Assess the NIH Investment in Research on Cancer Therapy</i>							
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EXAMINER: <i>P. Campbell</i>		DATE <i>7/16/98</i>							
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LIST OF PRIOR ART CITED BY APPLICANT

Application Number	08/737,953
Filing Date	27 November 1996
First Named Inventor	Carillo et al.
Group Art Unit	1819
Examiner Name	A. Razzaque
Attorney Docket Number	ST94073 -US

Attorney Docket Number	ST94073 -US
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Class / subclass

FOREIGN PATENT DOCUMENTS

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¹ Unique citation designation number. ² See attached kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.1 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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APPLICANT

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Application Number	08/737,953
Filing Date	27 November 1996
First Named Inventor	Carillo et al.
Group Art Unit	1819
Examiner Name	A. Razzaue
Attorney Docket Number	ST94073-US

Sheet 2 of 2

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, country, where published, source.

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Carillo et al., Differential sensitivity of FOS and JUN family members to calpains, Oncogene 9, 1679-1689 (1994)

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PTO 892 DEA/FCE 1994 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE NOTICE OF REFERENCES CITED	SERIAL NUMBER 08/737,953	Art Unit 1819	Attachment to Paper Number 10
APPLICANT(S) : Carillo et al			

U.S. PATENT DOCUMENTS

*		DOCUMENT NUMBER	DATE	NAME(S)	CLASS	SUBCLASS	FILING DATE
	✓	5,496,731	3/96	Xu et al	435	320.1	

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	✓	92/21373	12/92	WO	Logothetou- Rella	---	---	---	---

OTHER REFERENCES (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)

✓	Y Emori et al (1988) J Biol Chem 263: 2364-2370
✓	H Witschi et al (1989) Carcinogenesis 10: 2275-2277
✓	W Troll et al (1984) JNCI 73: 1245-1250
✓	M Ohkoshi (1980) Gann 71: 246-250

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1819

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Carillo et al

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R	Levy et al (1991) Gene 101: 195-202
S	HAKI et al (1989) J. Biol. Chem. 264: 18866-18869
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